



Atty Dkt No. 1950-0032.10

Caltech No. CIT-2123-4D1

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re U.S. Patent of:

Robert H. GRUBBS et al.

Patent No.: 6,111,121

Issued Date: August 29, 2000

Title: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES

RECEIVED
FEB '28 2006
TECH CENTER 1600/2900

PETITION TO CORRECT INVENTORSHIP IN PATENT

UNDER 37 CFR § 1.324(A)

RECEIVED

Mail Stop Petition
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

MAR -6 2006

TECH CENTER 1600/2900

RECEIVED

FEB 23 2006

OFFICE OF PETITIONS

Sir:

This is a petition to correct the inventorship of the subject patent so as to add Marcia B. France as a named joint inventor of the subject patent. The currently named inventors are Robert H. Grubbs, Peter Schwab, and Sonbinh T. Nguyen.

Pursuant to 37 CFR § 1.324(b), enclosed are the following documents in support of this petition:

1. Statement of Non-Deceptive Intent By Person Being Added By Petition to Change Inventorship in Patent, executed by Marcia B. France;
2. Statement of Non-Disagreement By Currently Named Inventors to Add Marcia B. France as a Joint Inventor in Patent, executed by Robert H. Grubbs, Peter Schwab and Sonbinh T. Nguyen;
3. Statement of Agreement by Assignee to Change Inventorship in Patent and Certification Under 37 CFR § 3.73(b);
4. Assignment from Currently Named Inventors to California Institute of Technology;
5. Assignment from Inventor Marcia B. France to California Institute of Technology;
6. Declaration signed by Marcia B. France;

7. Revocation of Power of Attorney with New Power of Attorney and Change of Correspondence Address, executed by Assignee;

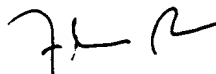
8. A check for \$130 to cover the fee set forth in 37 CFR § 1.20(b) required for filing this petition.

Thus, by way of this petition, favorable consideration to add Marcia B. France as a joint inventor in the subject patent is respectfully solicited.

The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or to credit any overpayment, to Deposit Account No. 18-0580.

Respectfully submitted,

By:



Flavio M. Rose
Registration No. 40,791

REED IP LAW GROUP
1400 Page Mill Road
Palo Alto, California 94304-1124
(650) 251-7700 Telephone
(650) 251-7739 Facsimile

F:\Document\1950\0032\10\Correct Inventorship Petition.DOC



Atty Dkt No. 1950-0032.10
Caltech No. CIT-2123-4D1
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

RECEIVED

In Re U.S. Patent of:
Robert H. GRUBBS et al.

MAR - 6 2006

FEB 23 2006

Patent No.: 6,111,121

TECH CENTER 1600/2900

OFFICE OF PETITIONS

Issue Date: August 29, 2000

Title: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE
COMPLEXES

**STATEMENT OF NON-DECEPTIVE INTENT BY THE PERSON
BEING ADDED BY PETITION TO CHANGE INVENTORSHIP IN PATENT UNDER 37
C.F.R. § 1.324(A)**

Mail Stop Petition
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RECEIVED

FEB 28 2006

TECH CENTER 1600/2900

Sir:

I, Marcia B. France, hereby declare as follows:

1. That I am a co-inventor of U.S. Patent No. 6,111,121, filed on August 29, 2000, along with Robert H. Grubbs, Peter Schwab and Sonbinh T. Nguyen.

2. That it has now become apparent that the inventorship of the above referenced patent application was originally incorrectly identified as being Robert H. Grubbs, Peter Schwab and Sonbinh T. Nguyen, and that such identification was done without any deceptive intention on my part.

The undersigned further declares that all statements made herein of her own knowledge are true and that all statements on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the above-referenced patent.

Respectfully submitted,

By: Marcia B France

Name: Marcia B. France

Date: May 27, 2005



Atty Dkt No. 1950-0032.10
Caltech No. CIT-2123-4D1
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

In Re U.S. Patent of:
Robert H. GRUBBS et al.

MAR - 6 2006

Patent No.: 6,111,121

Issue Date: August 29, 2000

TECH CENTER 1600

Title: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE
COMPLEXES

RECEIVED

FEB 23 2006

OFFICE OF THE COMMISSIONER

STATEMENT OF NON-DISAGREEMENT BY CURRENTLY NAMED INVENTORS
TO ADD MARCIA B. FRANCE AS A JOINT INVENTOR IN PATENT

Mail Stop Petition
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RECEIVED

FEB 28 2006

TECH CENTER 1600/2900

Sir:

We, Robert H. Grubbs, Peter Schwab, and Sonbinh T. Nguyen, the currently named inventors of the subject patent, are in non-disagreement to add Marcia B. France as a joint inventor in the subject patent. Accordingly, by Petition to Correct Inventorship in Patent Under 37 CFR § 1.324(a) submitted concurrently herewith, please add Marcia B. France as a joint inventor in the subject patent.

Respectfully submitted,

Date: May 15, 2005

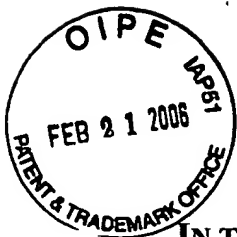
By: [Signature]
Robert H. Grubbs
First Joint Inventor

Date: _____

By: _____
Peter Schwab
Second Joint Inventor

Date: _____

By: _____
Sonbinh T. Nguyen
Third Joint Inventor



Atty Dkt No. 1950-0032.10
Caltech No. CIT-2123-4D1
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

RECEIVED

FEB 28 2006

OFFICE OF PETITIONS

In Re U.S. Patent of:
Robert H. GRUBBS et al.

MAR - 6 2006

Patent No.: 6,111,121

TECH CENTER 1600/2900

Issue Date: August 29, 2000

Title: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE
COMPLEXES

**STATEMENT OF NON-DISAGREEMENT BY CURRENTLY NAMED INVENTORS
TO ADD MARCIA B. FRANCE AS A JOINT INVENTOR IN PATENT**

Mail Stop Petition
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RECEIVED

FEB 28 2006

TECH CENTER 1600/2900

Sir:


We, Robert H. Grubbs, Peter Schwab, and Sonbinh T. Nguyen, the currently named inventors of the subject patent, are in non-disagreement to add Marcia B. France as a joint inventor in the subject patent. Accordingly, by Petition to Correct Inventorship in Patent Under 37 CFR § 1.324(a) submitted concurrently herewith, please add Marcia B. France as a joint inventor in the subject patent.

Respectfully submitted,

Date: _____

By: _____
Robert H. Grubbs
First Joint Inventor

Date: 11/3/2005

By: 
Peter Schwab
Second Joint Inventor

Date: _____

By: _____
Sonbinh T. Nguyen
Third Joint Inventor



Atty Dkt No. 1950-0032.10
Caltech No. CIT-2123-4D1
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

RECEIVED

In Re U.S. Patent of:
Robert H. GRUBBS et al.

MAR - 6 2006

FEB 23 2006

Patent No.: 6,111,121

TECH CENTER 1600/2900

OFFICE OF PLANT

Issue Date: August 29, 2000

Title: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE
COMPLEXES

**STATEMENT OF NON-DISAGREEMENT BY CURRENTLY NAMED INVENTORS
TO ADD MARCIA B. FRANCE AS A JOINT INVENTOR IN PATENT**

Mail Stop Petition
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RECEIVED

FEB 28 2006

TECH CENTER 1600/2900

Sir:

We, Robert H. Grubbs, Peter Schwab, and Sonbinh T. Nguyen, the currently named inventors of the subject patent, are in non-disagreement to add Marcia B. France as a joint inventor in the subject patent. Accordingly, by Petition to Correct Inventorship in Patent Under 37 CFR § 1.324(a) submitted concurrently herewith, please add Marcia B. France as a joint inventor in the subject patent.

Respectfully submitted,

Date: _____

By: _____
Robert H. Grubbs
First Joint Inventor

Date: _____

By: _____
Peter Schwab
Second Joint Inventor

Date: _____

By: _____
Sonbinh T. Nguyen
Third Joint Inventor



Atty Dkt No. 1950-0032.10
Caltech No.: CIT-2123-4D1
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re U.S. Patent of:
Robert H. GRUBBS et al.

Patent No.: 6,111,121

Issue Date: August 29, 2000

Title: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE
COMPLEXES

RECEIVED

FEB 23 2006

OFFICE OF PATENTS

**STATEMENT OF AGREEMENT BY ASSIGNEE TO CHANGE INVENTORSHIP IN
PATENT AND CERTIFICATION UNDER 37 CFR § 3.73(b)**

RECEIVED

RECEIVED

Mail Stop Petition
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

MAR - 6 2006

FEB 28 2006

TECH CENTER 1600/2900

TECH CENTER 1600/2900

Sir:

California Institute of Technology, the assignee of the subject patent, is in full agreement with the currently named inventors, Robert H. Grubbs, Peter Schwab, and Sonbinh T. Nguyen, to add Marcia B. France as a joint inventor in the subject patent. Accordingly, by Petition to Correct Inventorship in Patent Under 37 CFR § 1.324(a) submitted concurrently herewith, please add Marcia B. France as a joint inventor in the subject patent.

California Institute of Technology, a corporation duly organized under and pursuant to the laws of California, and having its principal place of business at 1200 East California Boulevard, Pasadena, California 91125, certifies that it is the assignee of the entire right, title and interest in the U.S. patent identified above by virtue of an Assignment from each of the inventors of the U.S. patent identified above. The Assignments were recorded in the Patent and Trademark Office on October 16, 1996 at Reel 8183, Frame 0314 (in connection with parent application Serial No. 08/693,789, filed July 31, 1996, now U.S. Patent No. 5,831,108, issued November 3, 1998), and on January 23, 2006 at Reel 017045, Frame 0461. Copies of the Assignments are attached.

The undersigned has reviewed the Assignments of the U.S. patent identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.


I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are true; and further that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under 18 USC § 1001, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Respectfully submitted,

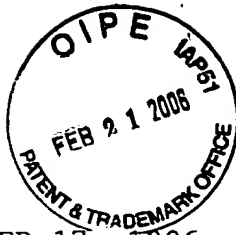
CALIFORNIA INSTITUTE OF TECHNOLOGY

JAN 31 2006
Date: _____

By: _____


Adam Cochran
Intellectual Property Counsel

California Institute of Technology
1200 East California Boulevard
MC 201-85
Pasadena, California 91125



DECEMBER 17, 1996



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

LIMBACH & LIMBACH, L.L.P.
W. PATRICK BENGTSSON
2001 FERRY BUILDING
SAN FRANCISCO, CA 94111

PTAS

RECEIVED



100291592A

DEC 23 1996

LIMBACH & LIMBACH

COPY

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/16/1996

REEL/FRAME: 8183/0314
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
GRUBBS, ROBERT H.

RECEIVED

DOC DATE: 08/22/1996

ASSIGNOR:
SCHWAB, PETER

MAR - 6 2006

DOC DATE: 08/26/1996

ASSIGNOR:
NGUYEN, SONBINH T.

TECH CENTER 1600/2900

DOC DATE: 08/30/1996

ASSIGNEE:
CALIFORNIA INSTITUTE OF TECHNOLOGY
1201 EAST CALIFORNIA BOULEVARD
PASADENA, CALIFORNIA 91125

SERIAL NUMBER: 08693789
PATENT NUMBER:

FILING DATE: 07/31/1996
ISSUE DATE:

TECH CENTER 1600/2900

FEB 28 2006

RECEIVED

8183/0314 PAGE 2

PEARLENE FOSTER, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

FORM PTO-1595
1-31-92



10-22-1996
100291592

RECEIVED
U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office
OCT 18 1996
581/40
RECEIPT ACTING DIV.
The attached original documents or copy thereof.

To the Honorable Commissioner of Patents and Trademarks

1. Name of conveying party(ies): 10-16-96
ROBERT H. GRUBBS
PETER SCHWAB
SONBINH T. NGUYEN

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

3. Nature of Conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other

Execution Date: 8/22, 26, 30, 1996

2. Name and address of receiving party(ies):

Name: California Institute of Technology

Internal Address: _____

Street Address: 1201 East California Boulevard

City, State and Zip: Pasadena, California 91125

Additional Name(s) & address(es) attached?

☒ Yes ☐ No

MAR - 6 2006

TECH CENTER 1600/2900

TECH CENTER 1600/2900

FEB 28 2006

RECEIVED

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)
08/693,789

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: W. Patrick Bengtsson

Internal Address: Limbach & Limbach L.L.P.
Street Address: 2001 Ferry Building
City, State, ZIP: San Francisco, California 94111
Telephone: (415) 433-4150
Facsimile: (415) 433-8716

Attorney Docket No. CTCH-1620

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41):.....\$ 40.00

☒ Enclosed
☒ Charge any deficiencies in the enclosed fee to
Deposit Account No. 12-1420
☐ Authorized to be charged to deposit account

8. Deposit account number: 12-1420

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

W. Patrick Bengtsson, Reg. No. 32,456

Name of Person Signing

160 DM 10/21/96 08693789

Paul Byth
Signature

10-10-96

Date

1 581

40.00 CK

Total number of pages including cover sheet, attachments and document: 4

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

Public burden reporting for this sample cover sheet is estimated to average about 30 minutes per document to be recorded, including time for reviewing the document and gathering the data needed, and completing and reviewing the sample cover sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Office of Information Systems, PK2-1000C, Washington, D.C. 20213, and to the Office of Management and Budget, Paperwork Reduction Project, (0651-0011), Washington, D.C. 20503

ASSIGNMENT

WHEREAS, WE, ROBERT H. GRUBBS, PETER SCHWAB, SONBINH T. NGUYEN, hereinafter referred to as "ASSIGNORS", have invented certain new and useful improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES

Application (Declaration/Oath) Execution Date: 8/22, 26, 30, 1996

Filing Date: July 31, 1996 Application No.: 08/693,789

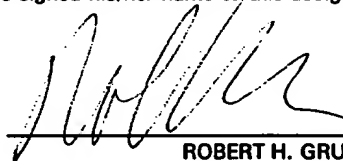
WHEREAS, California Institute of Technology, a corporation of the State of California, 1201 East California Boulevard, Pasadena, California 91125 hereinafter referred to as "ASSIGNEE", is desirous of acquiring the entire right, title and interest in the said invention and application and in any Letters Patent which may be granted on the same;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for One Dollar (\$1.00) and other good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have sold, assigned and transferred, and by these presents do sell, assign and transfer unto the said Assignee, and Assignee's successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, prolongations or extensions thereof, said interest to be held and enjoyed by said Assignee as fully and exclusively as it would have been held and enjoyed by said Assignors had this assignment and transfer not been made, to the full end and term of any such Letters Patent.

Assignors further agree that they will, without charge to said Assignee, but at Assignee's expense, cooperate with Assignee in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as Assignee lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: 8-22-96



ROBERT H. GRUBBS

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: _____

PETER SCHWAB

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: _____

SONBINH T. NGUYEN

ASSIGNMENT

WHEREAS, WE, ROBERT H. GRUBBS, PETER SCHWAB, SONBINH T. NGUYEN, hereinafter referred to as "ASSIGNORS", have invented certain new and useful improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES

Application (Declaration/Oath) Execution Date: 8/22, 26, 30, 1996

Filing Date: July 31, 1996 Application No.: 08/693,789

WHEREAS, California Institute of Technology, a corporation of the State of California, 1201 East California Boulevard, Pasadena, California 91125 hereinafter referred to as "ASSIGNEE", is desirous of acquiring the entire right, title and interest in the said invention and application and in any Letters Patent which may be granted on the same;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for One Dollar (\$1.00) and other good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have sold, assigned and transferred, and by these presents do sell, assign and transfer unto the said Assignee, and Assignee's successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, prolongations or extensions thereof, said interest to be held and enjoyed by said Assignee as fully and exclusively as it would have been held and enjoyed by said Assignors had this assignment and transfer not been made, to the full end and term of any such Letters Patent.

Assignors further agree that they will, without charge to said Assignee, but at Assignee's expense, cooperate with Assignee in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as Assignee lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: _____

ROBERT H. GRUBBS

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: 08/26/96

Peter Schwab
PETER SCHWAB

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: _____

SONBINH T. NGUYEN

ASSIGNMENT

WHEREAS, WE, ROBERT H. GRUBBS, PETER SCHWAB, SONBINH T. NGUYEN, hereinafter referred to as "ASSIGNORS", have invented certain new and useful improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES
Application (Declaration/Oath) Execution Date: 8/22, 26, 30, 1996
Filing Date: July 31, 1996 Application No.: 08/693,789

WHEREAS, California Institute of Technology, a corporation of the State of California, 1201 East California Boulevard, Pasadena, California 91125 hereinafter referred to as "ASSIGNEE", is desirous of acquiring the entire right, title and interest in the said invention and application and in any Letters Patent which may be granted on the same;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for One Dollar (\$1.00) and other good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have sold, assigned and transferred, and by these presents do sell, assign and transfer unto the said Assignee, and Assignee's successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, prolongations or extensions thereof, said interest to be held and enjoyed by said Assignee as fully and exclusively as it would have been held and enjoyed by said Assignors had this assignment and transfer not been made, to the full end and term of any such Letters Patent.

Assignors further agree that they will, without charge to said Assignee, but at Assignee's expense, cooperate with Assignee in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as Assignee lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: _____

ROBERT H. GRUBBS

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: _____

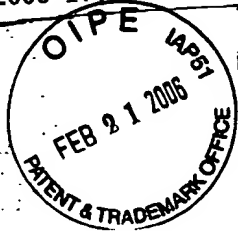
PETER SCHWAB

IN TESTIMONY WHEREOF, Assignor has hereunto signed his/her name to this assignment on the date indicated below.

Date: 8/30/96



SONBINH T. NGUYEN



COPY

UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

JANUARY 24, 2006

FLAVIO M. ROSE
1400 PAGE MILL ROAD
PALO ALTO, CA 94304-1124

PTAS

RECEIVED



500072821A

MAR - 6 2006

TECH CENTER 1600/2900

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 571-272-3350. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, MAIL STOP: ASSIGNMENT SERVICES DIVISION, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 01/23/2006

REEL/FRAME: 017045/0461
NUMBER OF PAGES: 3BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).
DOCKET NUMBER: 1950-0032.10ASSIGNOR:
FRANCE, MARCIA B.

DOC DATE: 05/27/2005

ASSIGNEE:
CALIFORNIA INSTITUTE OF TECHNOLOGY
1200 EAST CALIFORNIA BOULEVARD
PASADENA, CALIFORNIA 91125

SERIAL NUMBER: 09007498

FILING DATE: 01/15/1998

PATENT NUMBER: 6111121

ISSUE DATE: 08/29/2000

TITLE: HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE
COMPLEXES

017045/0461 PAGE 2

ALLYSON PURNELL, EXAMINER
ASSIGNMENT SERVICES BRANCH
PUBLIC RECORDS DIVISION

PATENT ASSIGNMENT

Electronic Version v1.1
Stylesheet Version v1.1

01/23/2006
500072821

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
Marcia B. France	05/27/2005
RECEIVING PARTY DATA	
Name:	California Institute of Technology
Street Address:	1200 East California Boulevard
City:	Pasadena
State/Country:	CALIFORNIA
Postal Code:	91125
PROPERTY NUMBERS Total: 1	
Property Type	Number
Patent Number:	6111121
CORRESPONDENCE DATA	
Fax Number:	(850)251-7739
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	(650) 251-7700
Email:	kstofer@reedpatent.com
Correspondent Name:	Flavio M. Rose
Address Line 1:	1400 Page Mill Road
Address Line 4:	Palo Alto, CALIFORNIA 94304-1124
ATTORNEY DOCKET NUMBER:	1950-0032.10
NAME OF SUBMITTER:	Flavio M. Rose
Total Attachments: 2 source=Assignment - France#page1.tif source=Assignment - France#page2.tif	

CH \$40.00 6111121

ASSIGNMENT

THIS ASSIGNMENT, by Marcia B. France (hereinafter referred to as the assignor), residing at 16 Whitmore Street, Lexington, VA 24450, witnesseth:

WHEREAS, the said assignor has invented certain new and useful improvements in HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES set forth in United States Patent No. 6,111,121, issued August 29, 2000; and WHEREAS, California Institute of Technology, a corporation duly organized under and pursuant to the laws of California, and having its principal place of business at 1200 East California Boulevard, Pasadena, CA 91125 (hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said Letters Patent or Patents, United States or foreign, and to be obtained therefor and thereon:

NOW THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient considerations, the receipt of which is hereby acknowledged, said assignor has sold, assigned, transferred and set over, and by these presents does sell, assign, transfer and set over, unto the assignee, its successors, legal representatives and assigns, her entire right, title and interest in and to the above-mentioned invention, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations, and continuations-in-part of said application, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by said assignee, for its own use and behoof and the use and behoof of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignor, had this sale and assignment not been made.

AND for the same consideration, said assignor hereby covenants and agrees to and with said assignee, its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignor is the sole and lawful owner of her entire right, title and interest in and to said inventions and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said assignor has good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, said assignor hereby covenants and agrees to and with said assignee, its successors, legal representatives and assigns, that said assignor will, whenever counsel of said assignee, or the counsel of its successors, legal representatives and assigns, shall advise that any proceeding in connection with said invention, or said application for Letters Patent, or any proceeding in connection with Letters Patent for said invention in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or continuation-in-part of any application for Letters Patent or any reissue or extension of any Letters Patent, to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said invention, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns.

AND said assignor hereby requests the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said invention and the Letters Patent to be issued thereon for the sole use and behoof of said assignee, its successors, legal representatives and assigns.

Date:

May 27, 2005

Marcia B France

Name of Inventor: Marcia B. France



DECLARATION FOR UTILITY PATENT APPLICATION

RECEIVED

FEB 23 2006

AS A BELOW-NAMED INVENTOR, I HEREBY DECLARE THAT:
My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent has been obtained for the invention entitled "HIGH METATHESIS ACTIVITY RUTHENIUM AND OSMIUM METAL CARBENE COMPLEXES," which

☒ was issued on August 29, 2000, and assigned U.S. Patent No. 6,111,121.

I HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

I acknowledge and understand that I am an individual who has a duty to disclose information which is material to the patentability of the claims of this application in accordance with Title 37, Code of Federal Regulations, §§ 1.56(a) and (b), which state:

- (a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is canceled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is canceled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:
- (1) prior art cited in search reports of a foreign patent office in a counterpart application, and
 - (2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.
- (b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and
- (1) It establishes, by itself or in combination with other information, a *prima facie* case of unpatentability of a claim; or
 - (2) It refutes, or is inconsistent with, a position the applicant takes in:
 - (i) Opposing an argument of unpatentability relied on by the Office, or
 - (ii) Asserting an argument of patentability.

OFFICE OF PETITIONS

TECH CENTER 1600/2900

FEB 28 2006

RECEIVED

A *prima facie* case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

I do not know and do not believe this invention was ever known or used in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to said application. This invention was not in public use or on sale in the United States of America more than one year prior to this application. This invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on any application filed by me or my legal representatives or assigns more than one year prior to this application.

I hereby claim priority benefits under Title 35, United States Code § 119(e)(1) of any United States provisional application(s) for patent as indicated below. I hereby claim benefit under Title 35, United States Code § 120 of any United States Patent application(s) listed below and, insofar as the subject matter of each of the claims of this application are not disclosed in the prior United States applications in the manner provided by the first paragraph of Title 35, United States Code, section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulation, section 1.56(a) which occurred between the earliest filing date of the prior applications and the filing date of this application.

Application No.	Date of Filing (day/month/year)	Priority Claimed
08/693,789	31 July 1996	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
60/001,862	3 August 1995	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
60/003,973	19 September 1995	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Signature: Marcia B France

Date: May 27, 2005

Full Name of Inventor: Marcia B. France

Citizenship: USA

Residence: Lexington, VA

Post Office Address: 16 Whitmore Street, Lexington, VA 24450